

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

206338US2PCT

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/830851

INTERNATIONAL APPLICATION NO.
PCT/JP00/05980INTERNATIONAL FILING DATE
04 September 2000PRIORITY DATE CLAIMED
02 September 1999

TITLE OF INVENTION

CASK

APPLICANT(S) FOR DO/EO/US
Katsunari OHSONO, et al.

MAY 02 2001

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.

2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.

3. This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).

4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.

5. A copy of the International Application as filed (35 U.S.C. 371 (c) (2))

- a. is transmitted herewith (required only if not transmitted by the International Bureau).
- b. has been transmitted by the International Bureau.
- c. is not required, as the application was filed in the United States Receiving Office (RO/US).

6. A translation of the International Application into English (35 U.S.C. 371(c)(2)).

7. A copy of the International Search Report (PCT/ISA/210).

8. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))

- a. are transmitted herewith (required only if not transmitted by the International Bureau).
- b. have been transmitted by the International Bureau.
- c. have not been made; however, the time limit for making such amendments has NOT expired.
- d. have not been made and will not be made.

9. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).

10. An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).

11. A copy of the International Preliminary Examination Report (PCT/IPEA/409).

12. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. An Information Disclosure Statement under 37 CFR 1.97 and 1.98.

14. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.

15. A **FIRST** preliminary amendment.

16. A **SECOND** or **SUBSEQUENT** preliminary amendment.

17. A substitute specification.

18. A change of power of attorney and/or address letter.

19. Certificate of Mailing by Express Mail

20. Other items or information:

Request for Consideration of Documents Cited in International Search Report

Notice of Priority

PCT/IB/304

PCT/IB/308

Drawings (20 Sheets)

Letter Requesting Entry of Substitute Drawings

Substitute Figure (7)

U.S. APPLICATION NO. (IF KNOWN) 37 CFR
09/830851INTERNATIONAL APPLICATION NO.
PCT/JP00/05980ATTORNEY'S DOCKET NUMBER
206338US2PCT

21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

| | |
|---|------------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO | \$1,000.00 |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | \$860.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$710.00 |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) | \$690.00 |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) | \$100.00 |

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).

 20 30

\$0.00

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
|---|--------------|--------------|---|-------------------|
| Total claims | 17 - 20 = | 0 | x \$18.00 | \$0.00 |
| Independent claims | 5 - 3 = | 2 | x \$80.00 | \$160.00 |
| Multiple Dependent Claims (check if applicable). | | | | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | \$1,020.00 | |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). | | | <input type="checkbox"/> | \$0.00 |
| | | | SUBTOTAL = | \$1,020.00 |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). | | | <input type="checkbox"/> 20 <input type="checkbox"/> 30 + | \$0.00 |
| | | | TOTAL NATIONAL FEE = | \$1,020.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). | | | <input type="checkbox"/> | \$0.00 |
| | | | TOTAL FEES ENCLOSED = | \$1,020.00 |
| | | | Amount to be: refunded | \$ |
| | | | charged | \$ |

 A check in the amount of \$1,020.00

to cover the above fees is enclosed.

 Please charge my Deposit Account No.

in the amount of

to cover the above fees.

A duplicate copy of this sheet is enclosed.

 The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 15-0030 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:



22850

Surinder Sachar
Registration No. 34,423

SIGNATURE

Marvin J. Spivak

NAME

24,913

REGISTRATION NUMBER

May 2 2001

DATE

DOCKET NO. 206338US2PCT

IN RE APPLICATION OF: K OHSONO, et al.

SERIAL NO.: New U.S. PCT Application (Based on PCT/JP00/05980)

FILED: HEREWITH

FOR: CASK

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

No additional fee is required.

Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement previously submitted.

Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement submitted herewith.

Additional documents filed herewith: PCT Transmittal Letter/Notice of Priority/Drawings (20 Sheets)
English Translation of Specification/Request for Consideration/PCT/IB/304/Declaration/PCT/IB/308
Preliminary Amendment/International Search Report/Letter Requesting Entry of Substitute Drawings
Substitute Figure (7)/Check for \$1,020.00

The fee has been calculated as shown below.

| | | | (Col. 1) | (Col. 2) | (Col. 3) | SMALL ENTITY | | OTHER THAN A SMALL ENTITY | |
|---|------------------------------|-------|--|------------------|----------|-------------------|-------|---------------------------|--|
| | CLAIMS REMAINING AFTER | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | RATE | ADDITIONAL FEE | RATE | ADDITIONAL FEE | |
| TOTAL | * 17 | MINUS | ** 20 | = 0 | X9 = | \$ | X18 = | \$.00 | |
| INDEP | * 5 | MINUS | *** 5 | = 0 | X40 = | \$ | X80 = | \$.00 | |
| <input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM | | | | | +135= | \$ | +270= | \$ | |
| | | | | | | TOTAL | TOTAL | \$.00 | |

A check in the amount of \$ _____ is attached.

XX Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

XX If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.



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Surinder Sachar
Marvin J. Spivak
Attorney of Record
Registration No. 24,913
Surinder Sachar
Registration No. 34,423

DOCKET NO.: 2063380 PCT

09/830851
JC08 2nd PCT/PTO 02 MAY 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5

IN RE APPLICATION OF: Katunari OHSONO, et al.

G. Br. 6
7/25/01

SERIAL NUMBER: NEW U.S. PCT APPLICATION (based on PCT/JP00/05980)

FILED: HEREWITH

FOR: CASK

REQUEST FOR CONSIDERATION OF DOCUMENTS
CITED IN INTERNATIONAL SEARCH REPORT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In the matter of the above-identified application for patent, notice is hereby given that applicant(s) request that the Examiner consider the documents cited in the International Search Report according to MPEP §609 and so indicate by a statement in the first Office Action that the information has been considered. When the Form PCT/DO/EO/903 indicates both the search report and copies of the documents are present in the national stage file, there is no requirement for the applicant(s) to submit them (1156 O.G. 91 November 23, 1993).

Respectfully submitted,
OBLOON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

Surinder Sachar

Marvin J. Spivak
Attorney of Record
Registration No. 24,913
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09/830851

JC08 Rec'd PCT/PTO 02 MAY 2001

DOCKET NO. 206338US

7-25-01

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF: : ATTN: NEW APPLICATION
DIVISION

KATUNARI OHSONO ET AL

SERIAL NO. NEW U.S. PCT APPLN
(Based on PCT/JP00/05980)

FILED: HEREWITH

FOR: CASK

LETTER REQUESTING ENTRY OF SUBSTITUTE DRAWINGS

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

Please review the attached substitute Figure 7, for entry as a replacement for the original Figure 7, in the above-identified application.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.



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